

Exhibit 1

ORIENTAL FINANCIAL SERVICES CORP
PROFESSIONAL OFFICE PARK V
997 SAN ROBERTO ST
ORIENTAL TOWER 9TH FL
SAN JUAN PR 00926
TEL: (787) 777-2888

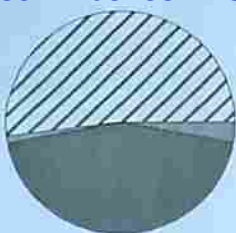
SP 05 003092 21361 E 38 ASNGLP

PABLO DEL VALLE RIVERA
MARIA A MARTINEZ DEL VALLE
TEN COM
PO BOX 2319
TOA BAJA PR 00951-2319

Your Investment Advisor:
DIRECTOR L. COLON
(787) 474-1993

Table of Contents

Section	Page
Asset Summary	25
Summary of Gains and Losses	26
Client Service Information	27
Year Account Information	28
Money Market Fund Detail	29
Portfolio Holdings	



Percent	Asset Type
52%	Mutual Funds
44%	Fixed Income
3%	Cash, Money Funds, and Bank Deposits
1%	Equities
100%	Account Total (Pie Chart)

Please review your allocation periodically with your Investment Advisor.

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March 1, 2018 - March 31, 2018
Account Number: 5TA-047432

Portfolio at a Glance

	This Period	Year-to-Date
BEGINNING ACCOUNT VALUE	\$2,849,100.95	\$2,621,189.07
Dividends, Interest and Other Income	5,056.65	15,436.44
Other Transactions	0.00	-6.30
Net Change in Portfolio ¹	238,232.68	455,771.07
ENDING ACCOUNT VALUE	\$3,092,390.28	\$3,092,390.28

Estimated Annual Income

\$177,642.05

¹ Net Change in Portfolio is the difference between the ending account value and beginning account value after activity.

(800) 600-0000

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Clearing through Pershing LLC, a wholly owned
subsidiary of The Bank of New York Mellon
Corporation (BNY Mellon)
Fidelity LLC, member FINRA, NYSE, SIPC

Summary of Gains and Losses

	This Period	Realized	Year-to-Date	Unrealized
Short-Term Gain/Loss	0.00		0.00	-13,734.69
Long-Term Gain/Loss	0.00		0.00	-2,061,278.63
Net Gain/Loss	0.00		0.00	-2,075,013.32

This summary excludes transactions where cost basis information is not available.

Client Service Information

Your Investment Advisor: 133	Contact Information	Client Service Information
HECTOR L. COLON	Telephone Number: (787) 474-1993	Client Service Telephone Number: (800) 981-5554
		Web Site: WWW.ORIENTALONLINE.COM

Your Account Information

INVESTMENT OBJECTIVE
Investment Objective: INCOME
Risk Exposure: MODERATE RISK
Please review your investment objective. If you wish to make a change or have any questions please contact your Investment Advisor.

TAX LOT DEFAULT DISPOSITION METHOD

Default Method for Mutual Funds:
First In First Out
First In First Out
First In First Out

BOND AMORTIZATION ELECTIONS

Amortize premium on taxable bonds based on Constant Yield Method: Yes
Accrual market discount method for all other bond types: Constant Yield Method
Include market discount in income annually: No

ELECTRONIC DELIVERY

You have not selected any account communications for electronic delivery. To register and turn off paper communications, log in to your account or contact your Investment Advisor for more information.

Money Market Fund Detail

Date	Activity Type	Description	Amount	Balance
	Sweep Money Market Fund			
	FEDERATED CAPITAL RESERVES			
Current Yield: 0.88%	Activity Ending: 03/29/18			
03/01/18	Opening Balance		76,337.05	76,337.05

Account Number: 57A-047432

5900000031000

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Corporation (BNY Mellon)
Pershing LLC, member FINRA, NYSE SIPC

Desc:

37:52

Portfolio Holdings

Money Market

TOTAL CASH, MONEY FUNDS, AND BANK DEPOSITS

Municipal Bonds

se:

Portfolio Holdings (continued)

Case: 17-03283-LTS Doc#: 5019-1 Filed: 01/31/19 Entered: 01/31/19 13:37:52 Desc:

Date Acquired	Quantity	Unit Cost	Adjusted Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Accrued Interest	Estimated Annual Income	Estimated Yield
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FIXED INCOME (continued)

Municipal Bonds (continued)

PUERTO RICO SALES TAX FING CORP SALES

TAX REV SALES TAX REV BDS 2007-B

1.0509% 08/01/36 B/E DTD 07/31/07 CALLABLE 04/28/18 @

100.000

SECURITY IN DEFAULT 1ST CPN DTE 09/01/07

CPN PMT MONTHLY ON 01

TAX EXEMPT - PUERTO

RICO RESIDENTS ONLY

Moody Rating CA

01/03/13 *

500,000.000

83.5460

417,729.32

60.0000

300,000.00

-117,729.32

0.00

0.00

0.00

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0.00

Security Identifier: 74529JAC9

Original Cost Basis: \$410,006.31

Security Identifier: 74529JGP4

Original Cost Basis: \$409,381.31

500,000.000

83.0130

415,062.81

23.2500

116,250.00

-298,812.81

0.00

0.00

0.00

0.00

0.00

0.00

0.00

0.00

0.00

0.00

0.00

Original Cost Basis: \$409,381.31

Original Cost Basis: \$409,381.31

Original Cost Basis: \$409,381.31

Original Cost Basis: \$409,381.31

Original Cost Basis: \$409,381.31

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Original Cost Basis: \$409,381.31

Original Cost Basis: \$409,381.31

EQUITIES 1.00% of Portfolio

Common Stocks

POPULAR INC COM NEW

Dividend Option: Cash

Please Provide *

168,000

N/A

Please Provide

0.00

0.00

0.00

0.00

Security Identifier: BPOP

CUSIP: 733174700

41.6200

6,992.16

N/A

0.00

0.00

0.00

0.00

0.00

Unrealized

Gain/Loss

Unrealized

Gain/Loss

Unrealized

Gain/Loss

Unrealized

Gain/Loss

Unrealized

Gain/Loss

Unrealized

Gain/Loss

Estimated Annual Income

Estimated Yield

Estimated Annual Income

Estimated Yield

Estimated Annual Income

Estimated Yield

Estimated Annual Income

Estimated Yield

Estimated Annual Income

Estimated Yield

Estimated Annual Income

Estimated Yield

Account Number: 51A-047432

8000000000000000

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Corporation (BNY Mellon)
Pershing LLC member FINRA, NYSE, SIPC

March 1, 2018 - March 31, 2018
PABLO DEL VALLE RIVERA

Portfolio Holdings (continued)

Case 17-03283-LTS Doc# 5019-1 Filed 01/31/19 Entered 01/31/19 13:06:32 Exhibit 1									
MUTUAL FUNDS 52.00% of Portfolio						Unrealized			
MFS TOTAL RETURN FUND CLASS A						Gain/Loss			
Open End Fund						Annual Income			
Dividend Option: Reinvest Capital Gains Option: Reinvest						Estimated Yield			
Security Identifier: MSFRX CUSIP: 552981300									
Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield	
1/8/27/03	1,660.148	13.9690	23,189.96	18.6100	30,895.35	7,705.39	612.53	1.98%	
1/8/27/03	1,494.647	13.9690	20,878.14	18.6100	27,815.38	6,937.24	551.46	1.98%	
1/8/27/03	1,821.274	13.9730	25,448.33	18.6100	33,893.91	8,445.58	671.98	1.98%	
1/8/27/03	0.259	13.9490	3.61	18.6100	4.82	1.21	0.10	1.98%	
1/8/27/03	728.915	13.9770	10,188.14	18.6100	13,565.11	3,376.97	268.94	1.98%	
1/8/27/03	332.142	13.9770	4,642.40	18.6100	6,181.17	1,538.77	122.55	1.98%	
1/8/27/03	0.041	13.9360	0.57	18.6100	0.76	0.19	0.02	1.98%	
1/8/29/03	1.210	14.1090	17.07	18.6100	22.52	5.45	0.45	1.98%	
1/8/29/03	0.188	14.1110	2.65	18.6100	3.50	0.85	0.07	1.98%	
1/8/29/03	7.167	14.1320	101.29	18.6100	133.39	32.10	2.64	1.98%	
1/8/29/03	1.117	14.1320	15.78	18.6100	20.78	5.00	0.41	1.98%	
1/8/29/03	10.574	14.4240	152.52	18.6100	196.79	44.27	3.90	1.98%	
1/8/29/03	1.652	14.4250	23.83	18.6100	30.74	6.91	0.61	1.98%	
1/8/29/03	10.491	14.5030	152.16	18.6100	195.24	43.08	3.87	1.98%	
1/8/29/03	1.634	14.5040	23.70	18.6100	30.41	6.71	0.60	1.98%	
1/8/29/03	10.078	15.1040	152.21	18.6100	187.54	35.33	3.72	1.98%	
1/8/29/03	1.563	15.1050	23.61	18.6100	29.09	5.48	0.58	1.98%	
1/8/30/04	9.814	15.2930	150.09	18.6100	182.64	32.55	3.62	1.98%	
1/8/30/04	1.524	15.3010	23.32	18.6100	28.36	5.04	0.56	1.98%	
1/8/30/04	9.558	15.5340	148.48	18.6100	177.88	29.40	3.53	1.98%	
1/8/27/04	1.490	15.5420	23.16	18.6100	27.73	4.57	0.55	1.98%	
1/8/31/04	9.679	15.3730	148.80	18.6100	180.13	31.33	3.57	1.98%	
1/8/31/04	1.509	15.3800	23.21	18.6100	28.09	4.88	0.56	1.98%	
1/8/30/04	10.407	15.1050	157.20	18.6100	193.68	36.48	3.84	1.98%	
1/8/30/04	1.626	15.1050	24.56	18.6100	30.26	5.70	0.60	1.98%	
1/8/28/04	10.401	15.0530	156.56	18.6100	193.55	36.99	3.84	1.98%	
1/8/28/04	1.623	15.0590	24.44	18.6100	30.20	5.76	0.60	1.98%	
1/8/30/04	10.368	15.3040	158.66	18.6100	192.94	34.28	3.83	1.98%	
1/8/30/04	1.610	15.3110	24.65	18.6100	29.96	5.31	0.59	1.98%	

Portfolio Holdings (continued)

Case: 17-03283-TS Doc#: 5019-1 Filed: 01/31/19 Entered: 01/31/19 13:37:52 Desc: Exhibit 1 Page 70 of 32

MUTUAL FUNDS (continued)									
MFS TOTAL RETURN FUND CLASS A (continued)									
Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield	
07/30/04 *	10.415	15.1140	157.42	18.6100	193.83	36.41	3.84	1.98%	
07/30/04 *	1.620	15.1170	24.49	18.6100	30.15	5.66	0.60	1.98%	
08/31/04 *	10.813	15.3140	165.59	18.6100	201.23	35.64	3.99	1.98%	
08/31/04 *	1.682	15.3220	25.77	18.6100	31.30	5.53	0.62	1.98%	
09/30/04 *	10.691	15.4340	165.01	18.6100	198.96	33.95	3.94	1.98%	
09/30/04 *	1.669	15.4340	25.76	18.6100	31.06	5.30	0.62	1.98%	
02/29/04 *	11.263	15.6350	176.09	18.6100	209.60	33.51	4.16	1.98%	
02/29/04 *	1.755	15.6430	27.45	18.6100	32.66	5.21	0.65	1.98%	
10/30/04 *	10.972	15.6450	171.65	18.6100	204.19	32.54	4.05	1.98%	
10/30/04 *	170.381	15.6440	2,665.49	18.6100	3,170.78	505.29	62.86	1.98%	
10/30/04 *	3.325	15.6460	52.02	18.6100	61.88	9.86	1.23	1.98%	
10/30/04 *	1.706	15.6520	26.70	18.6100	31.75	5.05	0.63	1.98%	
10/30/04 *	27.053	15.6490	423.35	18.6100	503.45	80.10	9.98	1.98%	
10/30/04 *	15.314	16.0140	245.24	18.6100	284.99	39.75	5.65	1.98%	
10/30/04 *	2.387	16.0190	38.24	18.6100	44.42	6.18	0.88	1.98%	
10/30/04 *	11.464	15.8250	181.41	18.6100	213.34	31.93	4.23	1.98%	
10/30/04 *	1.785	15.8340	28.26	18.6100	33.21	4.95	0.66	1.98%	
10/30/04 *	11.476	15.9540	183.08	18.6100	213.56	30.48	4.23	1.98%	
10/30/04 *	1.787	15.9610	28.52	18.6100	33.25	4.73	0.66	1.98%	
10/30/04 *	11.525	15.7850	181.93	18.6100	214.49	32.56	4.25	1.98%	
10/30/04 *	1.790	15.7890	28.26	18.6100	33.31	5.05	0.66	1.98%	
10/30/04 *	10.334	15.6240	161.45	18.6100	192.31	30.86	3.81	1.98%	
10/30/04 *	1.612	15.6330	25.20	18.6100	30.00	4.80	0.59	1.98%	
10/30/04 *	10.263	15.8640	162.81	18.6100	190.99	28.18	3.79	1.98%	
10/30/04 *	1.601	15.8710	25.41	18.6100	29.79	4.38	0.59	1.98%	
10/30/04 *	10.202	15.9640	162.86	18.6100	189.85	26.99	3.76	1.98%	
10/30/04 *	1.594	15.9720	25.46	18.6100	29.66	4.20	0.59	1.98%	
10/30/04 *	9.967	16.2050	161.51	18.6100	185.48	23.97	3.68	1.98%	
10/30/04 *	1.550	16.2050	25.12	18.6100	28.85	3.73	0.57	1.98%	
10/30/04 *	9.970	16.1650	161.16	18.6100	185.54	24.38	3.68	1.98%	
10/30/04 *	1.553	16.1680	25.11	18.6100	28.90	3.79	0.57	1.98%	
10/30/04 *	9.994	16.1150	161.05	18.6100	185.98	24.93	3.69	1.98%	
10/30/04 *	1.560	16.1210	25.15	18.6100	29.03	3.88	0.58	1.98%	
10/30/04 *	10.204	15.8640	161.87	18.6100	189.89	28.02	3.76	1.98%	
10/30/04 *	1.585	15.8730	25.16	18.6100	29.50	4.34	0.58	1.98%	
10/30/04 *	34.194	15.3140	523.65	18.6100	636.34	112.69	12.62	1.98%	
10/30/04 *	62.084	15.3140	950.76	18.6100	1,155.38	204.62	22.91	1.98%	



March 1, 2018 - March 31, 2018
PABLO DEL VALLE RIVERA

Portfolio Holdings (continued)

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
MUTUAL FUNDS (continued)								
MFS TOTAL RETURN FUND CLASS A (continued)								
11/30/05 *	276.160	15.3140	4,229.12	18.6100	5,139.33	910.21	101.89	1.98%
11/30/05 *	5.328	15.3190	81.61	18.6100	99.14	17.53	1.97	1.98%
11/30/05 *	9.669	15.3190	148.12	18.6100	179.94	31.82	3.57	1.98%
11/30/05 *	43.009	15.3190	658.85	18.6100	800.40	141.55	15.87	1.98%
11/30/05 *	11.026	15.3850	169.63	18.6100	205.19	35.56	4.07	1.98%
11/30/05 *	1.716	15.3860	26.40	18.6100	31.93	5.53	0.63	1.98%
11/30/05 *	11.039	15.6250	172.48	18.6100	205.43	32.95	4.07	1.98%
11/30/05 *	1.719	15.6320	26.87	18.6100	31.99	5.12	0.63	1.98%
11/30/05 *	11.021	15.6240	172.19	18.6100	205.10	32.91	4.07	1.98%
11/30/05 *	1.717	15.6270	26.83	18.6100	31.95	5.12	0.63	1.98%
11/30/05 *	10.996	15.6540	172.13	18.6100	204.63	32.50	4.06	1.98%
11/30/05 *	1.713	15.6580	26.82	18.6100	31.88	5.06	0.63	1.98%
11/30/05 *	10.953	15.8150	173.22	18.6100	203.83	30.61	4.04	1.98%
11/30/05 *	1.706	15.8220	26.99	18.6100	31.75	4.76	0.63	1.98%
11/30/05 *	11.164	15.5050	173.09	18.6100	207.76	34.67	4.12	1.98%
11/30/05 *	1.738	15.5130	26.96	18.6100	32.34	5.38	0.64	1.98%
11/30/05 *	11.332	15.4740	175.34	18.6100	210.88	35.54	4.18	1.98%
11/30/05 *	1.765	15.4810	27.32	18.6100	32.84	5.52	0.65	1.98%
11/30/05 *	11.224	15.6040	175.14	18.6100	208.87	33.73	4.14	1.98%
11/30/05 *	1.748	15.6070	27.28	18.6100	32.53	5.25	0.64	1.98%
11/30/05 *	11.049	15.8040	174.62	18.6100	205.62	31.00	4.08	1.98%
11/30/05 *	1.721	15.8060	27.20	18.6100	32.02	4.82	0.63	1.98%
11/30/05 *	10.782	16.0750	173.32	18.6100	200.66	27.34	3.98	1.98%
11/30/05 *	1.679	16.0820	27.00	18.6100	31.24	4.24	0.62	1.98%
11/30/05 *	10.510	16.3950	172.32	18.6100	195.60	23.28	3.88	1.98%
11/30/05 *	2.283	16.3780	37.39	18.6100	42.49	5.10	0.84	1.98%
11/30/05 *	10.224	16.6650	170.38	18.6100	190.26	19.88	3.77	1.98%
11/30/05 *	2.250	16.6490	37.46	18.6100	41.87	4.41	0.83	1.98%
11/30/05 *	31.701	16.1750	512.75	18.6100	589.95	77.20	11.70	1.98%
11/30/05 *	3.316	16.1730	53.63	18.6100	61.71	8.08	1.22	1.98%
11/30/05 *	253.768	16.1750	4,104.66	18.6100	4,722.62	617.96	93.63	1.98%

Case: 17-03283-LTS Doc#: 5019-1 Filed: 01/31/19 Entered: 01/31/19 13:37:52 Desc: Exhibit Page 8 of 38

Account Number: 51A-047432

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Penning LLC member FINRA, NYSE, SIPC

Portfolio Holdings (continued)

Case:17-03283-LTS Doc#:5019-1 Filed:01/31/19 Entered:01/31/19 13:37:52 Desc: Exhibit Page 9 of 32

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
MUTUAL FUNDS (continued)								
FMS TOTAL RETURN FUND CLASS A (continued)								
12/07/06 *	4.939	16.1710	79.87	18.6100	91.92	12.05	1.82	1.98%
12/07/06 *	0.516	16.1820	8.35	18.6100	9.60	1.25	0.19	1.98%
12/07/06 *	39.540	16.1700	639.36	18.6100	735.84	96.48	14.59	1.98%
12/29/06 *	9.567	16.1800	154.79	18.6100	178.04	23.25	3.53	1.98%
12/29/06 *	4.196	16.1960	67.96	18.6100	78.09	10.13	1.55	1.98%
12/29/06 *	2.406	16.1800	38.93	18.6100	44.77	5.84	0.89	1.98%
12/01/07 *	11.926	16.3600	195.11	18.6100	221.94	26.83	4.40	1.98%
12/01/07 *	5.595	16.3760	91.62	18.6100	104.12	12.50	2.06	1.98%
12/01/07 *	2.999	16.3620	49.07	18.6100	55.81	6.74	1.11	1.98%
12/01/07 *	1.984	16.3200	195.58	18.6100	223.02	27.44	4.42	1.98%
12/01/07 *	6.099	16.3250	99.57	18.6100	113.51	13.94	2.25	1.98%
12/01/07 *	3.013	16.3230	49.18	18.6100	56.07	6.89	1.11	1.98%
12/02/07 *	11.946	16.4110	196.04	18.6100	222.31	26.27	4.41	1.98%
12/02/07 *	5.408	16.4150	88.77	18.6100	100.64	11.87	2.00	1.98%
12/02/07 *	3.004	16.4110	49.30	18.6100	55.91	6.61	1.11	1.98%
12/02/07 *	10.185	16.8210	171.32	18.6100	189.54	18.22	3.76	1.98%
12/02/07 *	4.453	16.8360	74.97	18.6100	82.87	7.90	1.64	1.98%
12/02/07 *	2.561	16.8220	43.08	18.6100	47.66	4.58	0.94	1.98%
12/02/07 *	10.033	17.1100	171.66	18.6100	186.71	15.05	3.70	1.98%
12/02/07 *	4.457	17.1240	76.32	18.6100	82.94	6.62	1.64	1.98%
12/02/07 *	2.523	17.1110	43.17	18.6100	46.95	3.78	0.93	1.98%
12/02/07 *	10.184	16.8890	172.00	18.6100	189.53	17.53	3.76	1.98%
12/02/07 *	4.595	16.8950	77.63	18.6100	85.51	7.88	1.70	1.98%
12/02/07 *	2.561	16.8880	43.25	18.6100	47.66	4.41	0.94	1.98%
12/02/07 *	10.785	16.4510	177.42	18.6100	200.71	23.29	3.98	1.98%
12/02/07 *	4.674	16.4560	76.91	18.6100	86.98	10.07	1.72	1.98%
12/02/07 *	2.712	16.4530	44.62	18.6100	50.47	5.85	1.00	1.98%
12/04/07 *	10.769	16.5100	177.80	18.6100	200.41	22.61	3.97	1.98%
12/04/07 *	5.000	16.5170	82.59	18.6100	93.06	10.47	1.84	1.98%
12/04/07 *	2.708	16.5100	44.71	18.6100	50.40	5.69	1.00	1.98%
12/04/07 *	10.568	16.8590	178.17	18.6100	196.67	18.50	3.90	1.98%
12/04/07 *	4.778	16.8640	80.57	18.6100	88.91	8.34	1.76	1.98%
12/04/07 *	2.658	16.8590	44.81	18.6100	49.46	4.65	0.98	1.98%
12/04/07 *	10.478	17.0400	178.54	18.6100	195.00	16.46	3.87	1.98%
12/04/07 *	4.529	17.0550	77.24	18.6100	84.28	7.04	1.67	1.98%
12/04/07 *	2.635	17.0400	44.90	18.6100	49.04	4.14	0.97	1.98%
12/03/07 *	10.752	16.6400	178.91	18.6100	200.09	21.18	3.97	1.98%



Desc:

Date Acquired	Quantity
MUTUAL FUNDS (continued)	
MFS TOTAL RETURN FUND CLASS A (continued)	

Case:17-03283-LTS Doc#:5019-1 Filed:01/31/19 Entered:01/31/19 13:37:52



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Clearing through Perthing LLC, a wholly owned subsidiary of The Bank of New York Mellon Corporation (BNY Mellon)

Portfolio Holdings (continued)

Case: 17-03283-LTS Doc#: 5019-1 Filed: 01/31/19 Entered: 01/31/19 13:37:52 Desc: Exhibit 1 Page 10 of 32

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
MUTUAL FUNDS (continued)								
MFS TOTAL RETURN FUND CLASS A (continued)								
08/01/08 *	3.287	13.8480	45.52	18.6100	61.17	15.65	1.21	1.98%
09/02/08 *	12.941	14.0200	181.43	18.6100	240.83	59.40	4.77	1.98%
09/02/08 *	6.054	14.0330	84.96	18.6100	112.67	27.71	2.23	1.98%
09/02/08 *	3.255	14.0180	45.63	18.6100	60.58	14.95	1.20	1.98%
09/02/08 *	13.808	13.1700	181.85	18.6100	256.97	75.12	5.09	1.98%
09/02/08 *	6.336	13.1810	83.52	18.6100	117.92	34.40	2.34	1.98%
09/02/08 *	3.472	13.1710	45.73	18.6100	64.61	18.88	1.28	1.98%
10/01/08 *	15.661	11.6400	182.29	18.6100	291.45	109.16	5.78	1.98%
10/03/08 *	7.505	11.6510	87.44	18.6100	139.67	52.23	2.77	1.98%
10/03/08 *	3.938	11.6400	45.84	18.6100	73.29	27.45	1.45	1.98%
10/03/08 *	26.157	11.2200	293.48	18.6100	486.78	193.30	9.65	1.98%
10/03/08 *	4.097	11.2200	45.97	18.6100	76.25	30.28	1.51	1.98%
10/03/08 *	28.943	11.4400	331.11	18.6100	538.63	207.52	10.68	1.98%
10/03/08 *	4.533	11.4410	51.86	18.6100	84.36	32.50	1.67	1.98%
10/03/08 *	27.338	10.8000	295.25	18.6100	508.76	213.51	10.09	1.98%
10/03/08 *	4.281	10.8010	46.24	18.6100	79.67	33.43	1.58	1.98%
10/03/08 *	29.523	10.0300	296.12	18.6100	549.42	253.30	10.89	1.98%
10/03/08 *	4.624	10.0300	46.38	18.6100	86.05	39.67	1.71	1.98%
10/03/08 *	24.522	10.6000	259.93	18.6100	456.35	196.42	9.05	1.98%
10/03/08 *	3.841	10.5990	40.71	18.6100	71.48	30.77	1.42	1.98%
10/03/08 *	23.290	11.1900	260.62	18.6100	433.43	172.81	8.59	1.98%
10/03/08 *	3.648	11.1900	40.82	18.6100	67.89	27.07	1.35	1.98%
10/03/08 *	22.331	11.7000	261.27	18.6100	415.58	154.31	8.24	1.98%
10/03/08 *	3.497	11.7010	40.92	18.6100	65.08	24.16	1.29	1.98%
10/03/08 *	22.308	11.7400	261.90	18.6100	415.15	153.25	8.23	1.98%
10/03/08 *	3.494	11.7400	41.02	18.6100	65.02	24.00	1.29	1.98%
10/03/08 *	3.354	0.0000	0.00	18.6100	62.42	62.42	1.24	1.98%
10/03/08 *	21.413	12.2600	262.52	18.6100	398.50	135.98	7.90	1.98%
10/03/08 *	20.966	12.5500	263.12	18.6100	390.18	127.06	7.74	1.98%
10/03/08 *	3.284	12.5490	41.21	18.6100	61.12	19.91	1.21	1.98%
10/03/08 *	20.538	12.8400	263.71	18.6100	382.21	118.50	7.58	1.98%
10/03/08 *	3.217	12.8380	41.30	18.6100	59.87	18.57	1.19	1.98%
10/03/08 *	20.826	12.6900	264.28	18.6100	387.57	123.29	7.68	1.98%
10/03/08 *	3.262	12.6890	41.39	18.6100	60.70	19.31	1.20	1.98%
10/03/08 *	20.250	13.0800	264.87	18.6100	376.85	111.98	7.47	1.98%
10/03/08 *	3.171	13.0810	41.48	18.6100	59.01	17.53	1.17	1.98%
10/03/08 *	20.216	13.1300	265.43	18.6100	376.22	110.79	7.46	1.98%



March 1, 2018 - March 31, 2018
PABLO DEL VALLE RIVERA

Portfolio Holdings (continued)

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
MUTUAL FUNDS (continued)								
MFS TOTAL RETURN FUND CLASS A (continued)								
12/31/09 *	3.106	13.1300	41.57	18.6100	58.92	17.35	1.17	1.98%
02/01/10 *	20.509	12.9700	266.00	18.6100	381.67	115.67	7.57	1.98%
02/01/10 *	3.212	12.9700	41.66	18.6100	59.78	18.12	1.19	1.98%
03/01/10 *	20.287	13.1400	266.57	18.6100	377.54	110.97	7.49	1.98%
03/01/10 *	3.177	13.1410	41.75	18.6100	59.12	17.37	1.17	1.98%
04/01/10 *	19.759	13.5200	267.14	18.6100	367.71	100.57	7.29	1.98%
04/01/10 *	3.095	13.5190	41.84	18.6100	57.60	15.76	1.14	1.98%
05/03/10 *	18.237	13.6300	248.57	18.6100	339.39	90.82	6.73	1.98%
05/03/10 *	2.856	13.6310	38.93	18.6100	53.15	14.22	1.05	1.98%
06/01/10 *	19.217	12.9600	249.05	18.6100	357.63	108.58	7.09	1.98%
06/01/10 *	3.010	12.9600	39.01	18.6100	56.02	17.01	1.11	1.98%
07/01/10 *	19.727	12.6500	249.55	18.6100	367.12	117.57	7.28	1.98%
08/01/10 *	3.090	12.6500	39.09	18.6100	57.51	18.42	1.14	1.98%
08/02/10 *	18.944	13.2000	250.06	18.6100	352.55	102.49	6.99	1.98%
08/02/10 *	2.967	13.2020	39.17	18.6100	55.21	16.04	1.09	1.98%
09/01/10 *	19.453	12.8800	250.55	18.6100	362.02	111.47	7.18	1.98%
09/01/10 *	3.047	12.8780	39.24	18.6100	56.71	17.47	1.12	1.98%
10/01/10 *	18.652	13.4600	251.06	18.6100	347.11	96.05	6.88	1.98%
10/01/10 *	2.921	13.4610	39.32	18.6100	54.36	15.04	1.08	1.98%
11/01/10 *	18.361	13.7000	251.54	18.6100	341.70	90.16	6.77	1.98%
11/01/10 *	2.876	13.7000	39.40	18.6100	53.52	14.12	1.06	1.98%
12/01/10 *	18.517	13.6100	252.02	18.6100	344.60	92.58	6.83	1.98%
12/01/10 *	2.900	13.6100	39.47	18.6100	53.97	14.50	1.07	1.98%
12/31/10 *	17.908	14.1000	252.50	18.6100	333.27	80.77	6.61	1.98%
12/31/10 *	2.805	14.1000	39.55	18.6100	52.20	12.65	1.03	1.98%
12/31/10 *	17.752	14.2500	252.97	18.6100	330.37	77.40	6.55	1.98%
02/01/11 *	2.780	14.2520	39.62	18.6100	51.74	12.12	1.03	1.98%
03/01/11 *	17.430	14.5400	253.43	18.6100	324.37	70.94	6.43	1.98%
03/01/11 *	2.730	14.5380	39.69	18.6100	50.80	11.11	1.01	1.98%
04/01/11 *	17.461	14.5400	253.88	18.6100	324.95	71.07	6.44	1.98%
04/01/11 *	2.735	14.5370	39.76	18.6100	50.90	11.14	1.01	1.98%



Portfolio Holdings (continued)

Case: 17-03283-LTS Doc#: 5019-1 Filed: 01/31/19 Entered: 01/31/19 13:37:52 Desc: Exhibit A Page 13 of 32

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
MUTUAL FUNDS (continued)								
FUND TOTAL RETURN FUND CLASS A (continued)								
05/02/11 *	17.127	14.8500	254.34	18.6100	318.73	64.39	6.32	1.98%
05/02/11 *	2.683	14.8490	39.84	18.6100	49.93	10.09	0.99	1.98%
06/01/11 *	17.238	14.7800	254.78	18.6100	320.80	66.02	6.36	1.98%
06/01/11 *	2.700	14.7810	39.91	18.6100	50.25	10.34	1.00	1.98%
07/01/11 *	17.554	14.5400	255.23	18.6100	326.68	71.45	6.48	1.98%
07/01/11 *	2.750	14.5380	39.98	18.6100	51.18	11.20	1.01	1.98%
08/01/11 *	19.175	14.3600	275.36	18.6100	356.85	81.49	7.07	1.98%
08/01/11 *	3.003	14.3620	43.13	18.6100	55.89	12.76	1.11	1.98%
09/01/11 *	19.862	13.8900	275.89	18.6100	369.63	93.74	7.33	1.98%
09/01/11 *	3.111	13.8890	43.21	18.6100	57.90	14.69	1.15	1.98%
09/01/11 *	20.975	13.1800	276.45	18.6100	390.34	113.89	7.74	1.98%
09/01/11 *	3.285	13.1810	43.30	18.6100	61.13	17.83	1.21	1.98%
10/01/11 *	21.111	14.0600	296.82	18.6100	392.88	96.06	7.79	1.98%
10/01/11 *	3.307	14.0580	46.49	18.6100	61.54	15.05	1.22	1.98%
10/01/11 *	21.278	13.9800	297.46	18.6100	395.98	98.52	7.85	1.98%
10/01/11 *	3.333	13.9780	46.59	18.6100	62.03	15.44	1.23	1.98%
10/01/11 *	34.091	14.0200	477.95	18.6100	634.43	156.48	12.58	1.98%
10/01/11 *	5.340	14.0190	74.86	18.6100	99.38	24.52	1.97	1.98%
Uncovered	9,693,783		138,524.12		180,401.24	41,877.12	3,576.61	
02/01/12 *	20.108	14.3800	289.15	18.6100	374.21	85.06	7.42	1.98%
02/01/12 *	3.150	14.3780	45.29	18.6100	58.62	13.33	1.16	1.98%
03/01/12 *	19.656	14.7400	289.73	18.6100	365.80	76.07	7.25	1.98%
03/01/12 *	3.079	14.7390	45.38	18.6100	57.30	11.92	1.14	1.98%
04/02/12 *	19.392	14.9700	290.30	18.6100	360.88	70.58	7.15	1.98%
04/02/12 *	3.037	14.9720	45.47	18.6100	56.52	11.05	1.12	1.98%
05/01/12 *	19.456	14.9500	290.86	18.6100	362.08	71.22	7.18	1.98%
05/01/12 *	3.047	14.9520	45.56	18.6100	56.71	11.15	1.12	1.98%
06/01/12 *	20.380	14.3000	291.43	18.6100	379.27	87.84	7.52	1.98%
06/01/12 *	3.192	14.2980	45.64	18.6100	59.40	13.76	1.18	1.98%
07/02/12 *	20.015	14.5900	292.02	18.6100	372.48	80.46	7.38	1.98%
07/02/12 *	3.135	14.5900	45.74	18.6100	58.34	12.60	1.16	1.98%
08/01/12 *	19.770	14.8000	292.60	18.6100	367.92	75.32	7.29	1.98%
08/01/12 *	3.097	14.7980	45.83	18.6100	57.64	11.81	1.14	1.98%
09/04/12 *	19.597	14.9600	293.17	18.6100	364.70	71.53	7.23	1.98%
09/04/12 *	3.070	14.9580	45.92	18.6100	57.13	11.21	1.13	1.98%
10/01/12 *	19.338	15.1900	293.74	18.6100	359.88	66.14	7.13	1.98%

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March 1, 2018 - March 31, 2018
PABLO DEL VALLE RIVERA

Portfolio Holdings (continued)

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
MUTUAL FUNDS (continued)								
MFS TOTAL RETURN FUND CLASS A (continued)								
10/01/12 3	3.029	15.1900	46.01	18.6100	56.37	10.36	1.12	1.98%
11/01/12 3	19.477	15.1100	294.30	18.6100	362.47	68.17	7.19	1.98%
11/01/12 3	3.050	15.1110	46.09	18.6100	56.76	10.67	1.13	1.98%
2/03/12 3	19.489	15.1300	294.87	18.6100	362.69	67.82	7.19	1.98%
2/03/12 3	3.052	15.1310	46.18	18.6100	56.80	10.62	1.13	1.98%
8/21/12 3	36.764	15.2100	559.18	18.6100	684.18	125.00	13.56	1.98%
12/21/12 3	5.758	15.2100	87.58	18.6100	107.16	19.58	2.12	1.98%
12/28/13 3	18.849	15.7300	296.50	18.6100	350.78	54.28	6.95	1.98%
12/28/13 3	2.952	15.7320	46.44	18.6100	54.94	8.50	1.09	1.98%
12/28/13 3	18.717	15.8700	297.04	18.6100	348.32	51.28	6.91	1.98%
12/28/13 3	2.931	15.8720	46.52	18.6100	54.55	8.03	1.08	1.98%
12/28/13 3	18.347	16.2200	297.59	18.6100	341.44	43.85	6.77	1.98%
12/28/13 3	2.874	16.2180	46.61	18.6100	53.49	6.88	1.06	1.98%
12/28/13 3	16.883	16.4600	277.56	18.6100	313.82	36.26	6.22	1.98%
12/28/13 3	2.641	16.4600	43.47	18.6100	49.15	5.68	0.97	1.98%
12/28/13 3	2.634	16.5300	43.54	18.6100	49.02	5.48	0.97	1.98%
12/28/13 3	2.674	16.3130	43.62	18.6100	49.76	6.14	0.99	1.98%
12/28/13 3	2.596	16.8300	43.69	18.6100	48.31	4.62	0.96	1.98%
12/28/13 3	2.667	16.4080	43.76	18.6100	49.63	5.87	0.98	1.98%
12/28/13 3	2.614	16.7670	43.83	18.6100	48.65	4.82	0.96	1.98%
12/28/13 3	2.548	17.2290	43.90	18.6100	47.42	3.52	0.94	1.98%
12/28/13 3	2.510	17.5180	43.97	18.6100	46.71	2.74	0.93	1.98%
12/28/13 3	13.357	17.3500	231.75	18.6100	248.57	16.82	4.93	1.98%
12/28/13 3	3.514	17.5700	61.74	18.6100	65.39	3.65	1.30	1.98%
12/28/13 3	2.869	17.2320	49.44	18.6100	53.39	3.95	1.06	1.98%
12/28/13 3	2.796	17.7110	49.52	18.6100	52.03	2.51	1.03	1.98%
12/28/13 3	2.782	17.8320	49.61	18.6100	51.77	2.16	1.03	1.98%
12/28/13 3	3.054	17.8980	54.66	18.6100	56.83	2.17	1.13	1.98%
12/28/13 3	3.110	18.1410	56.42	18.6100	57.88	1.46	1.15	1.98%
12/28/13 3	3.087	18.3090	56.52	18.6100	57.45	0.93	1.14	1.98%
12/28/13 3	3.130	18.0930	56.63	18.6100	58.25	1.62	1.15	1.98%



Desc:

Case:17-03283-LTS Doc#:5019-1 Filed:01/31/19 Entered:01/31/19 13:37:52

Desc:

Date Acquired	Quantity
MUTUAL FUNDS (continued)	
MF5 HIGH-INCOME FUND CLASS A (continued)	

Case:17-03283-LTS Doc#:5019-1 Filed:01/31/19 Entered:01/31/19 13:37:52

Account Number: 57A-047432

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Portfolio Holdings (continued)

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
MUTUAL FUNDS (continued)								
MFS HIGH-INCOME FUND CLASS A (continued)								
05/31/05 *	180.873	3.8600	698.17	3.3500	605.92	.92.25	29.66	4.89%
05/31/05 *	28.261	3.8500	108.81	3.3500	94.68	-14.13	4.63	4.89%
06/30/05 *	180.528	3.9000	704.06	3.3500	604.77	.99.29	29.61	4.89%
06/30/05 *	28.216	3.8900	109.76	3.3500	94.53	-15.23	4.63	4.89%
07/29/05 *	179.010	3.9400	705.30	3.3500	599.68	-105.62	29.36	4.89%
07/29/05 *	27.940	3.9300	109.80	3.3500	93.60	-16.20	4.58	4.89%
08/31/05 *	180.163	3.9200	708.04	3.3500	603.55	-104.49	29.55	4.89%
08/31/05 *	28.143	3.9200	110.32	3.3500	94.28	-16.04	4.62	4.89%
09/30/05 *	184.429	3.8700	713.74	3.3500	617.84	-95.90	30.25	4.89%
09/30/05 *	28.823	3.8600	111.26	3.3500	96.56	-14.70	4.73	4.89%
10/31/05 *	187.790	3.8100	715.48	3.3500	629.10	-86.38	30.80	4.89%
10/31/05 *	29.353	3.8000	111.55	3.3500	98.33	-13.22	4.81	4.89%
10/31/05 *	394.653	3.8000	1,499.68	3.3500	1,322.09	-177.59	64.72	4.89%
10/31/05 *	61.653	3.7900	233.68	3.3500	206.54	-27.14	10.11	4.89%
10/31/05 *	191.601	3.8100	730.00	3.3500	641.86	-88.14	31.42	4.89%
10/31/05 *	29.927	3.8000	113.73	3.3500	100.26	-13.47	4.91	4.89%
10/31/05 *	180.010	3.8300	689.44	3.3500	603.03	-86.41	29.52	4.89%
10/31/05 *	28.093	3.8200	107.32	3.3500	94.11	-13.21	4.61	4.89%
10/31/05 *	179.421	3.8500	690.77	3.3500	601.06	-89.71	29.43	4.89%
10/31/05 *	28.010	3.8400	107.56	3.3500	93.83	-13.73	4.59	4.89%
10/31/05 *	180.682	3.8400	693.82	3.3500	605.28	-88.54	29.63	4.89%
10/31/05 *	28.236	3.8300	108.15	3.3500	94.59	-13.56	4.63	4.89%
10/31/05 *	181.156	3.8500	697.45	3.3500	606.87	-90.58	29.71	4.89%
10/31/05 *	28.283	3.8400	108.61	3.3500	94.75	-13.86	4.64	4.89%
10/31/05 *	183.966	3.8100	700.91	3.3500	616.29	-84.62	30.17	4.89%
10/31/05 *	28.725	3.8000	109.16	3.3500	96.23	-12.93	4.71	4.89%
10/31/05 *	187.332	3.7700	706.24	3.3500	627.56	-78.68	30.72	4.89%
10/31/05 *	29.229	3.7600	110.06	3.3500	98.05	-12.01	4.80	4.89%
10/31/05 *	192.891	3.7700	727.20	3.3500	646.18	-81.02	31.63	4.89%
10/31/05 *	30.106	3.7600	113.21	3.3500	100.86	-12.35	4.94	4.89%
10/31/05 *	196.892	3.8100	750.16	3.3500	659.59	-90.57	32.29	4.89%
10/31/05 *	30.754	3.8000	116.87	3.3500	103.02	-13.85	5.04	4.89%
10/31/05 *	206.564	3.8300	791.14	3.3500	691.99	-99.15	33.88	4.89%
10/31/05 *	32.274	3.8200	123.29	3.3500	108.12	-15.17	5.29	4.89%
10/31/05 *	216.130	3.8600	834.26	3.3500	724.04	-110.22	35.45	4.89%
10/31/05 *	3.826	3.8500	14.73	3.3500	12.82	-1.91	0.63	4.89%
10/31/05 *	30.259	3.8500	116.50	3.3500	101.37	-15.13	4.96	4.89%



March 1, 2018 - March 31, 2018
PABLO DEL VALLE RIVERA

Portfolio Holdings (continued)

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
MUTUAL FUNDS (continued)								
Fidelity High-Income Fund Class A (continued)								
1/30/06 *	279.267	3.8900	1,086.35	3.3500	935.55	-150.80	45.80	4.89%
1/30/06 *	18.773	3.8800	72.84	3.3500	62.89	-9.95	3.08	4.89%
1/30/06 *	2.076	3.8820	8.06	3.3500	6.96	-1.10	0.34	4.89%
1/30/06 *	22.470	3.8790	87.17	3.3500	75.27	-11.90	3.69	4.89%
1/30/06 *	1.674	3.8820	6.50	3.3500	5.61	-0.89	0.27	4.89%
1/30/06 *	215.824	3.9100	843.87	3.3500	723.01	-120.86	35.40	4.89%
1/30/06 *	24.051	3.9000	93.80	3.3500	80.57	-13.23	3.94	4.89%
1/30/06 *	11.832	3.9000	46.14	3.3500	39.64	-6.50	1.94	4.89%
1/30/06 *	188.524	3.9300	740.90	3.3500	631.55	-109.35	30.92	4.89%
1/30/06 *	32.727	3.9200	128.29	3.3500	109.64	-18.65	5.37	4.89%
1/30/06 *	0.170	3.9320	0.67	3.3500	0.57	-0.10	0.03	4.89%
1/30/06 *	187.466	3.9700	744.24	3.3500	628.01	-116.23	30.74	4.89%
1/30/06 *	32.666	3.9500	129.03	3.3500	109.43	-19.60	5.36	4.89%
1/30/06 *	0.200	3.9600	0.79	3.3500	0.67	-0.12	0.03	4.89%
1/30/06 *	191.088	3.9600	756.71	3.3500	640.15	-116.56	31.34	4.89%
1/30/06 *	33.197	3.9500	131.13	3.3500	111.21	-19.92	5.44	4.89%
1/30/06 *	0.169	3.9550	0.67	3.3500	0.57	-0.10	0.03	4.89%
1/30/06 *	200.361	3.9900	799.44	3.3500	671.21	-128.23	32.86	4.89%
1/30/06 *	34.658	3.9800	137.94	3.3500	116.10	-21.84	5.68	4.89%
1/30/06 *	0.212	3.9720	0.84	3.3500	0.71	-0.13	0.03	4.89%
1/30/06 *	211.008	3.9900	841.92	3.3500	706.88	-135.04	34.61	4.89%
1/30/06 *	36.456	3.9700	144.73	3.3500	122.13	-22.60	5.98	4.89%
1/30/06 *	0.222	3.9710	0.88	3.3500	0.74	-0.14	0.04	4.89%
1/30/06 *	238.840	3.8800	926.70	3.3500	800.11	-126.59	39.17	4.89%
1/30/06 *	40.762	3.8700	157.75	3.3500	136.55	-21.20	6.68	4.89%
1/30/06 *	0.223	3.8690	0.90	3.3500	0.78	-0.12	0.04	4.89%
1/30/06 *	250.997	3.7100	931.20	3.3500	840.84	-90.36	41.16	4.89%
1/30/06 *	42.908	3.7000	158.76	3.3500	143.74	-15.02	7.04	4.89%
1/30/06 *	0.252	3.6950	0.93	3.3500	0.84	-0.09	0.04	4.89%
1/30/06 *	272.286	3.7400	1,018.35	3.3500	912.16	-106.19	44.65	4.89%
1/30/06 *	46.137	3.7300	172.09	3.3500	154.56	-17.53	7.57	4.89%



MFS HIGH-INCOME FUND CLASS A (continued)

12/31/08 :3

Desc:

MUTUAL FUNDS (continued)

Case:17-03283-LTS Doc#:5019-1 Filed:01/31/19 Entered:01/31/19 13:37:52

Account Number: 51A-047432

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Portfolio Holdings (continued)

Case:17-03283-LTS Doc#:5019-1 Filed:01/31/19 Entered:01/31/19 13:37:52 Desc: Exhibit Page 9 of 32

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
MUTUAL FUNDS (continued)								
IFPS HIGH-INCOME FUND CLASS A (continued)								
03/31/10 *	310.012	3.3100	1,026.14	3.3500	1,038.54	12.40	50.84	4.89%
03/31/10 *	49.157	3.3100	162.71	3.3500	164.68	1.97	8.06	4.89%
04/30/10 *	306.421	3.3700	1,032.64	3.3500	1,026.51	-6.13	50.25	4.89%
04/30/10 *	48.593	3.3700	163.76	3.3500	162.79	-0.97	7.97	4.89%
05/28/10 *	320.716	3.2400	1,039.12	3.3500	1,074.40	35.28	52.60	4.89%
05/28/10 *	50.821	3.2400	164.66	3.3500	170.25	5.59	8.33	4.89%
06/30/10 *	321.785	3.2500	1,045.80	3.3500	1,077.98	32.18	52.77	4.89%
06/30/10 *	51.034	3.2500	165.86	3.3500	170.96	5.10	8.37	4.89%
07/30/10 *	314.182	3.3500	1,052.51	3.3500	1,052.51	0.00	51.53	4.89%
07/30/10 *	49.797	3.3500	166.82	3.3500	166.82	0.00	8.17	4.89%
08/11/10 *	318.087	3.3300	1,059.23	3.3500	1,065.59	6.36	52.17	4.89%
08/11/10 *	50.441	3.3300	167.97	3.3500	168.98	1.01	8.27	4.89%
09/30/10 *	312.581	3.4100	1,065.90	3.3500	1,047.15	-18.75	51.26	4.89%
09/30/10 *	49.543	3.4100	168.94	3.3500	165.97	-2.97	8.13	4.89%
09/30/10 *	294.352	3.4700	1,021.40	3.3500	986.08	-35.32	48.27	4.89%
09/30/10 *	46.648	3.4700	161.87	3.3500	156.27	-5.60	7.65	4.89%
10/30/10 *	300.363	3.4200	1,027.24	3.3500	1,006.22	-21.02	49.26	4.89%
10/30/10 *	47.620	3.4200	162.86	3.3500	159.53	-3.33	7.81	4.89%
11/31/10 *	298.621	3.4600	1,033.23	3.3500	1,000.38	-32.85	48.97	4.89%
11/31/10 *	47.318	3.4600	163.72	3.3500	158.52	-5.20	7.76	4.89%
01/31/11 *	295.222	3.5200	1,039.18	3.3500	988.99	-50.19	48.42	4.89%
01/31/11 *	46.781	3.5200	164.67	3.3500	156.72	-7.95	7.67	4.89%
02/28/11 *	295.254	3.5400	1,045.20	3.3500	989.10	-56.10	48.42	4.89%
02/28/11 *	46.814	3.5400	165.72	3.3500	156.83	-8.89	7.68	4.89%
03/31/11 *	297.717	3.5300	1,050.94	3.3500	997.35	-53.59	48.83	4.89%
03/31/11 *	47.170	3.5300	166.51	3.3500	158.02	-8.49	7.74	4.89%
04/29/11 *	296.896	3.5600	1,056.95	3.3500	994.60	-62.35	48.69	4.89%
04/29/11 *	47.090	3.5600	167.64	3.3500	157.75	-9.89	7.72	4.89%
05/31/11 *	299.431	3.5500	1,062.98	3.3500	1,003.09	-59.89	49.11	4.89%
05/31/11 *	47.487	3.5500	168.58	3.3500	159.08	-9.50	7.79	4.89%
06/30/11 *	306.275	3.4900	1,068.90	3.3500	1,026.02	-42.88	50.23	4.89%
06/30/11 *	48.556	3.4900	169.46	3.3500	162.66	-6.80	7.96	4.89%
07/29/11 *	307.166	3.5000	1,075.08	3.3500	1,029.01	-46.07	50.38	4.89%
07/29/11 *	48.700	3.5000	170.45	3.3500	163.14	-7.31	7.99	4.89%
08/31/11 *	323.725	3.3400	1,081.24	3.3500	1,084.48	3.24	53.09	4.89%
08/31/11 *	51.326	3.3400	171.43	3.3500	171.94	0.51	8.42	4.89%
09/30/11 *	337.811	3.2200	1,087.75	3.3500	1,131.67	43.92	55.40	4.89%

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Corporation (BNY Mellon)
Pershing LLC, member FINRA, NYSE, SIPC

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Desc:

Date Acquired

Case:17-03283-LTS Doc#:5019-1 Filed:01/31/19 Entered:01/31/19 13:37:52

Account Number: 51A-047432

BOOKS BY THE AUTHOR

Costs: none

Countdown



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Clearing through Perishing LLC, a wholly owned subsidiary of The Bank of New York Mellon Corporation (BNY Mellon)

Portfolio Holdings (continued)

Case: 17-03283-LTS Doc# 5019-1 Filed: 01/31/19 Entered: 01/31/19 13:37:52 Desc: Exhibit 1 Page 22 of 32

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
MUTUAL FUNDS (continued)								
MFS HIGH-INCOME FUND CLASS A (continued)								
12/31/12	49,652	3.5900	178.25	3.3500	166.33	-11.92	8.14	4.89%
01/31/13	313,188	3.6100	1,130.61	3.3500	1,049.18	-81.43	51.36	4.89%
01/31/13	49,637	3.6100	179.19	3.3500	166.28	-12.91	8.14	4.89%
02/28/13	315,711	3.6000	1,136.56	3.3500	1,057.63	-78.93	51.78	4.89%
02/28/13	50,025	3.6000	180.09	3.3500	167.58	-12.51	8.20	4.89%
03/28/13	299,853	3.6100	1,082.47	3.3500	1,004.51	-77.96	49.18	4.89%
03/28/13	47,557	3.6100	171.68	3.3500	159.32	-12.36	7.80	4.89%
04/30/13	298,027	3.6500	1,087.80	3.3500	998.39	-89.41	48.88	4.89%
04/30/13	47,249	3.6500	172.46	3.3500	158.28	-14.18	7.75	4.89%
05/31/13	46,643	3.6100	168.38	3.3500	156.25	-12.13	7.65	4.89%
05/31/13	48,219	3.5100	169.25	3.3500	161.53	-7.72	7.91	4.89%
05/31/13	46,413	3.5600	165.23	3.3500	155.48	-9.75	7.61	4.89%
06/30/13	47,190	3.5200	166.11	3.3500	158.09	-8.02	7.74	4.89%
06/30/13	47,133	3.5400	166.85	3.3500	157.90	-8.95	7.73	4.89%
06/30/13	46,586	3.6000	167.71	3.3500	156.06	-11.65	7.64	4.89%
06/30/13	46,947	3.5900	168.54	3.3500	157.27	-11.27	7.70	4.89%
06/30/13	47,017	3.6000	169.26	3.3500	157.51	-11.75	7.71	4.89%
06/30/13	48,639	3.6000	175.10	3.3500	162.94	-12.16	7.98	4.89%
06/30/13	48,186	3.6500	175.88	3.3500	161.42	-14.46	7.90	4.89%
06/30/13	48,558	3.6400	176.75	3.3500	162.67	-14.08	7.96	4.89%
06/30/13	48,791	3.6400	177.60	3.3500	163.45	-14.15	8.00	4.89%
06/30/13	47,488	3.6500	173.33	3.3500	159.08	-14.25	7.79	4.89%
06/30/13	47,609	3.6600	174.25	3.3500	159.49	-14.76	7.81	4.89%
07/31/14	48,581	3.6000	174.89	3.3500	162.75	-12.14	7.97	4.89%
07/31/14	48,288	3.6400	175.77	3.3500	161.76	-14.01	7.92	4.89%
08/29/14	48,268	3.5500	171.35	3.3500	161.70	-9.65	7.92	4.89%
09/30/14	45,201	3.5800	161.82	3.3500	151.42	-10.40	7.41	4.89%
10/31/14	45,915	3.5400	162.54	3.3500	153.81	-8.73	7.53	4.89%
11/28/14	46,871	3.4800	163.11	3.3500	157.02	-6.09	7.69	4.89%
11/30/15	46,977	3.4900	163.95	3.3500	157.37	-6.58	7.70	4.89%
12/27/15	46,377	3.5500	164.64	3.3500	155.36	-9.28	7.61	4.89%
01/30/15	46,955	3.5200	165.28	3.3500	157.30	-7.98	7.70	4.89%
04/30/15	48,324	3.5500	171.55	3.3500	161.89	-9.66	7.93	4.89%
05/29/15	48,672	3.5400	172.30	3.3500	163.05	-9.25	7.98	4.89%
06/30/15	49,730	3.4800	173.06	3.3500	166.59	-6.47	8.16	4.89%
07/31/15	48,926	3.4400	168.34	3.3500	163.94	-4.40	8.03	4.89%
08/31/15	50,360	3.3600	169.21	3.3500	168.71	-0.50	8.26	4.89%



March 1, 2018 - March 31, 2018
PABLO DEL VALLE RIVERA

Portfolio Holdings (continued)

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
MUTUAL FUNDS (continued)								
MFS HIGH-INCOME FUND CLASS A (continued)								
10/30/15	51,942	3.2700	169.85	3.3500	174.00	4.15	8.52	4.89%
10/30/15	49,322	3.3500	165.23	3.3500	165.23	0.00	8.09	4.89%
1/30/15	50,902	3.2600	165.94	3.3500	170.52	4.58	8.35	4.89%
Reinvestments to Date	18,906,893	3.4450	65,143.31	3.3500	63,338.09	-1,805.22	3,100.73	4.89%
Not Covered	26,214,387		90,943.16		87,818.17	-3,124.99	4,299.20	
Not Covered	17,730,130	N/A	Please Provide	3.3500	59,395.94	N/A	2,907.74	4.89%
Not Covered	294,443	N/A	Please Provide	3.3500	986.39	N/A	48.29	4.89%
Not Covered	4,691,465	N/A	Please Provide	3.3500	15,716.38	N/A	769.30	4.89%
Unallocated	22,716,038		Please Provide		76,098.71	N/A	3,725.33	
Deal	78,742,495		N/A		\$263,787.36	N/A	\$12,913.76	
FRANKLIN MUTUAL SHARES CLASS A								
Security Identifier: TESIX CUSIP: 628380602								
Open End Fund								
Dividend Option: Reinvest; Capital Gains Option: Reinvest								
10/22/03	3,929,471	19.8500	78,000.00	27.5200	108,139.04	30,139.04	2,385.19	2.20%
10/22/03	24,712	20.5600	508.08	27.5200	680.07	171.99	15.00	2.20%
10/22/03	16,451	21.3200	350.74	27.5200	452.73	101.99	9.99	2.20%
10/22/03	39,283	22.5000	883.86	27.5200	1,081.07	197.21	23.84	2.20%
10/22/03	74,842	22.5000	1,683.95	27.5200	2,059.65	375.70	45.43	2.20%
10/22/03	2,043	22.7950	46.57	27.5200	56.22	9.65	1.24	2.20%
10/22/03	6,958	23.6120	164.29	27.5200	191.49	27.20	4.22	2.20%
10/22/03	4,899	23.6090	115.66	27.5200	134.82	19.16	2.97	2.20%
10/22/03	50,049	23.8800	1,195.17	27.5200	1,377.35	182.18	30.38	2.20%
10/22/03	26,998	23.8800	644.72	27.5200	742.98	98.26	16.39	2.20%
10/22/03	154,798	23.8800	3,696.58	27.5200	4,260.04	563.46	93.96	2.20%
10/22/03	29,020	24.0700	698.51	27.5200	798.63	100.12	17.62	2.20%
10/22/03	30,297	24.0700	729.26	27.5200	833.77	104.51	18.39	2.20%
10/22/03	42,500	25.7500	1,094.38	27.5200	1,169.60	75.22	25.80	2.20%
10/22/03	213,541	25.7500	5,498.69	27.5200	5,876.65	377.96	129.62	2.20%
10/22/03	49,064	25.7500	1,263.39	27.5200	1,350.24	86.85	29.78	2.20%
10/22/03	6,217	28.4700	177.00	27.5200	171.09	-5.91	3.77	2.20%

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Pershing LLC member FINRA, NYSE, SIPC

Portfolio Holdings (continued)

Case: 17-03283-LTS Doc# 5019-1 Filed: 01/31/19 Entered: 01/31/19 13:37:52 Desc: Page 2 of 2

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
MUTUAL FUNDS (continued)								
FRANKLIN MUTUAL SHARES CLASS A (continued)								
06/18/07 *3.12	5,838	28.4690	166.20	27.5200	160.66	-5.54	3.54	2.20%
12/24/07 *3.12	5,099	25.2010	128.50	27.5200	140.33	11.83	3.10	2.20%
12/24/07 *3.12	149,783	25.2000	3,774.53	27.5200	4,122.03	347.50	90.92	2.20%
12/24/07 *3.12	118,646	25.2000	2,989.87	27.5200	3,265.14	275.27	72.02	2.20%
09/08/08 *3.12	8,379	21.1610	177.31	27.5200	230.59	53.28	5.09	2.20%
09/08/08 *3.12	6,214	21.1600	131.49	27.5200	171.01	39.52	3.77	2.20%
09/08/08 *3.12	38,907	21.1600	823.28	27.5200	1,070.72	247.44	23.62	2.20%
12/22/08 *3.12	60,066	15.0100	901.59	27.5200	1,653.02	751.43	36.46	2.20%
09/08/09 *3.12	65,763	17.6300	1,159.41	27.5200	1,809.80	650.39	39.92	2.20%
12/22/09 *3.12	40,465	18.7700	759.53	27.5200	1,113.60	354.07	24.56	2.20%
06/08/10 *3.12	49,558	19.1400	948.54	27.5200	1,363.84	415.30	30.08	2.20%
12/01/10 *3.12	100,295	20.4300	2,049.02	27.5200	2,760.12	711.10	60.88	2.20%
06/07/11 *3.12	48,484	18.9800	920.23	27.5200	1,334.28	414.05	29.43	2.20%
12/01/11 *3.12	76,137	19.2300	1,464.11	27.5200	2,095.29	631.18	46.22	2.20%
Noncovered	5,474,777		113,144.46		150,665.87	37,521.41	3,323.20	
06/11/12 *3.12	36,761	22.2500	817.93	27.5200	1,011.66	193.73	22.31	2.20%
12/12/12 *3.12	66,760	22.5300	1,504.10	27.5200	1,837.23	333.13	40.52	2.20%
07/13/15	960,000	31.2520	30,001.50	27.5200	26,419.20	-3,582.30	582.72	2.20%
Reinvestments to Date	1,870,404	27.4540	51,349.29	27.5200	51,473.52	124.23	1,135.33	2.20%
Total Covered	2,933,925		83,672.82		80,741.61	-2,931.21	1,780.88	
Total	8,408,702		\$196,817.28		\$231,407.48	\$34,590.20	\$5,104.08	
SPENHEIMER SENIOR FLOATING RATE FUND CLASS A								
Security Identifier: OOSAX CUSIP: 68381K101								
Open End Fund								
Dividend Option: Reinvest; Capital Gains Option: Reinvest								
11/26/13	10,958,000	8.6700	95,007.36	8.1400	89,198.12	-5,809.24	3,616.89	4.05%
06/16/15	7,660,000	8.2900	63,502.90	8.1400	62,352.40	-1,150.50	2,528.33	4.05%
Reinvestments to Date	3,274,293	8.0280	26,284.43	8.1400	26,652.75	368.32	1,080.74	4.05%
Total Covered	21,892,293		184,794.69		178,203.27	-6,591.42	7,225.96	
Total	21,892,293		\$184,794.69		\$178,203.27	-\$6,591.42	\$7,225.96	
IMCO INCOME FUND CLASS A								
Security Identifier: PONAX CUSIP: 72201F474								
Open End Fund								
Dividend Option: Reinvest; Capital Gains Option: Reinvest								
11/21/17	58,787,279	12.4200	730,140.50	12.2100	717,792.68	-12,347.82	36,260.29	5.05%
Reinvestments to Date	813,134	12.3230	10,020.29	12.2100	9,928.36	-91.93	501.54	5.05%



March 1, 2018 - March 31, 2018
PABLO DEL VALLE RIVERA

Portfolio Holdings (continued)

Date Acquired	Quantity	Unit Cost	Cost Basis	Market Price	Market Value	Unrealized Gain/Loss	Estimated Annual Income	Estimated Yield
MUTUAL FUNDS (continued)								
FINMCO INCOME FUND CLASS A (continued)								
Total Covered	59,600.413		740,160.79		727,721.04	-12,439.75	36,761.83	
Total	59,600.413		\$740,160.79		\$727,721.04	-\$12,439.75	\$36,761.83	
TOTAL MUTUAL FUNDS								
			\$1,510,130.74		\$1,640,020.76	\$53,791.31	\$66,742.06	
TOTAL PORTFOLIO HOLDINGS								
			\$5,084,312.73		\$3,092,390.28	-\$2,075,013.32	\$0.00	\$177,642.05

Noncovered under the cost basis rules as defined below.

Generally, securities acquired before 2011, in retirement accounts or held by Non-U.S. entities are not subject to the cost basis reporting rules set forth in the Internal Revenue Code of 1986, as amended by the Emergency Economic Stabilization Act of 2008, and are marked as "noncovered". Securities marked as "covered", were identified as securities potentially subject to the cost basis reporting rules and may be reported to the IRS on form 1099-B for the applicable tax year in which the securities are disposed.

Note: In the event where we cannot easily determine the taxability of an account, we may mark the account as noncovered. However, if the account does not receive a 1099B, the cost basis will not be reported to the IRS.

Cost Basis on fixed income securities may be adjusted for amortization, accretion, original issue discount adjustments, or principal paydowns. The calculation is based upon the taxpayer election, type of fixed income security, and certain attributes, obtained from sources believed to be reliable. In the event, one or more of these attributes is changed, there may be a temporary incorrect adjusted cost basis reflected until the cost basis system is amended to reflect this change. These calculations will not be performed under certain circumstances, including those involving foreign bonds, bonds sold short or bonds issued with less than one year to maturity. This information is meant as a general guide and you should consult your tax advisor in the preparation of your tax returns.

This bond is maturing.

The cost basis of this security has been provided to us by you or your introducing firm and Pershing makes no representation as to the accuracy of this information.

Unrealized gains and losses are not reported for securities for which cost basis or market value is not available.

Pershing has received updated cost basis information, therefore cost basis provided on previous client brokerage statements may differ from the new cost basis reported in this section.

Portfolio Holdings Disclosures

Pricing

This section includes the net market value of the securities in your account on a settlement date basis, including short positions, at the close of the statement period. The market prices, unless otherwise noted, have been obtained from independent vendor services, which we believe to be reliable. Market prices do not constitute a bid or an offer, and may differ from the actual sale price. Securities for which a price is not available are marked "N/A" and are omitted from the Total.

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Portfolio Holdings Disclosures (continued)

Pricing (continued)
THE AS OF PRICE DATE ONLY APPEARS WHEN THE PRICE DATE DOES NOT EQUAL THE STATEMENT DATE.

Estimated Annual Figures

The estimated annual income (EAI) and estimated annual yield (EAY) figures are estimates and for informational purposes only. These figures are not considered to be a forecast or guarantee of future results. These figures are computed using information from providers believed to be reliable; however, no assurance can be made as to the accuracy. Since interest and dividend rates are subject to change at any time, and may be affected by current and future economic, political, and business conditions, they should not be relied on for making investment, trading, or tax decisions. These figures assume that the position quantities, interest and dividend rates, and prices remain constant. A capital gain or return of principal may be included in the figures for certain securities, thereby overstating them. Refer to www.pershing.com/disclosures for specific details as to formulas used to calculate the figures. Accrued interest represents interest earned but not yet received.

Reinvestment

The dollar amount of Mutual Fund distributions, Money Market Fund dividend income, Bank Deposit interest income, or dividends for other securities shown on your statement may have been reinvested. You will not receive confirmation of these reinvestments. Upon written request to your financial institution, information pertaining to these transactions, including the time of execution and the name of the person from whom your security was purchased, may be obtained. In dividend reinvestment transactions, Pershing acts as your agent and receives payment for order flow.

Option Disclosure

Information with respect to commissions and other charges incurred in connection with the execution of option transactions has been included in confirmations previously furnished to you. A summary of this information is available to you promptly upon your written request directed to your introducing firm. In order to assist your introducing firm in maintaining current background and financial information concerning your option accounts, please promptly advise them in writing of any material change in your investment objectives or financial situation. Expiring options which are valuable are exercised automatically pursuant to the exercise by exception procedure of the Options Clearing Corporation. Additional information regarding this procedure is available upon written request to your introducing firm.

Foreign Currency Transactions

Pershing will execute foreign currency transactions as principal for your account. Pershing may automatically convert foreign currency to or from U.S. dollars for dividends and similar corporate action transactions unless you instruct your financial organization otherwise. Pershing's currency conversion rate will not exceed the highest interbank conversion rate identified from customary banking sources on the conversion date or the prior business day, increased by up to 1%, unless a particular rate is required by applicable law. Your financial organization may also increase the currency conversion rate. This conversion rate may differ from rates in effect on the date you executed a transaction, incurred a charge, or received a credit. Transactions converted by agents (such as depositories) will be billed at the rates such agents use.

Proxy Vote

Securities not fully paid for in your margin account may be lent by Pershing to itself or others in accordance with the terms outlined in the Margin Agreement. The right to vote your shares held on margin may be reduced by the amount of shares on loan. The Proxy Voting Instruction Form sent to you may reflect a smaller number of shares entitled to vote than the number of shares in your margin account.

Activity Summary (All amounts shown are in base currency)

	Credits This Period	Debits This Period	Net This Period	Credits Year-to-Date	Debits Year-to-Date	Net Year-to-Date
Securities						
Securities Bought	0.00	-\$5,003.84	-\$5,003.84	0.00	-\$15,259.95	-\$15,259.95
Total Securities	\$0.00	-\$5,003.84	-\$5,003.84	\$0.00	-\$15,259.95	-\$15,259.95
Dividends and Interest	\$5,056.65	\$0.00	\$5,056.65	\$15,436.44	\$0.00	\$15,436.44



Figure 1

	Credits This Period	Debits This Period	Net This Period	Credits Year-to-Date	Debits Year-to-Date	Net Year-to-Date
Taxes Withheld	\$0.00	\$0.00	\$0.00	\$0.00	-\$6.30	-\$6.30
Totals	\$5,056.65	-\$5,003.84	\$52.81	\$15,436.44	-\$15,266.25	\$170.19

Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
Securities Bought and Sold						

Page 28 of 31	1/18	1/18	1/18	1/18	1/18
REINVEST CASH INCOME	MTS TOTAL RETURN FUND CLASS A 12816.9160 SHRS SHRS	20.355	-384.51	USD	
MSFRX	PURCH. AT \$18.89000 RD 02/27 PD 03/01/18				
REINVEST CASH INCOME	MTS HIGH-INCOME FUND CLASS A 5HRS PURCH. AT \$3.39000	312.310	-1,058.73	USD	
MHITX	FOR ACCRUAL PERIOD ENDING 02/28/18				
REINVEST CASH INCOME	OPPENHEIMER SENIOR FLOATING RATE FUND CLASS A SHRS	62.424	-510.00	USD	
00SAX	PURCH. AT \$8.17000 FOR ACCRUAL PERIOD ENDING 02/28/18				

REINVEST CASH INCOME	249,844	-3,050.60	USD
PONAX			
PIMCO INCOME FUND CLASS A SHRS PURCH. AT \$12.1000			
FOR ACCRUAL PERIOD ENDING 02/28/18			

03/01/18	CASH DIVIDEND RECEIVED MSFRX	MFS TOTAL RETURN FUND CLASS A 12816.9160 SHRS RD 02/27 PD 03/01/8	384.51	USD
03/01/18	CASH DIVIDEND RECEIVED MHITX	MFS HIGH-INCOME FUND CLASS A FOR ACCRUAL PERIOD ENDING 02/28/8	1,058.73	USD
03/01/18	CASH DIVIDEND RECEIVED OOSAX	OPPENHEIMER SENIOR FLOATING RATE FUND CLASS A FOR ACCRUAL PERIOD ENDING 02/28/8	510.00	USD

Transactions by Type of Activity (continued)

Process/ Settlement Date	Activity Type	Description	Quantity	Price	Accrued Interest	Amount	Currency
Dividends and Interest (continued)							
03/01/18	CASH DIVIDEND RECEIVED	PIMCO INCOME FUND CLASS A FOR ACCRUAL PERIOD ENDING 02/28/18				3,050.60	USD
03/29/18	MOONEY MARKET FUND INCOME RECEIVED	FEDERATED CAPITAL PER980569				52.81	USD
Total Dividends and Interest						\$0.00	\$5,056.65 USD
Total Value of Transactions						\$0.00	\$52.81 USD

The price and quantity displayed may have been rounded.

Messages

Nothing has been advised by your financial organization that it does not receive payment for directing order flow. See the Terms and Conditions section of your brokerage account statement for a description of Pershing's payment for order flow practices.

For additional information regarding order-routing practices and the venues to which your financial organization's orders are routed, you may visit orderroutingdisclosure.com.

Upon written request to your financial organization, you may obtain the identity of the venue to which your orders were routed for the six months prior to your request and the time of transactions that may have resulted from such orders.

Although a money market mutual fund seeks to preserve the value of your investment at \$1 per share, it is possible to lose money by investing in a money market mutual fund. Shares of a money market mutual fund or the balance of a bank deposit product held in your brokerage account may be liquidated upon request with the proceeds credited to your brokerage account. Please see the money market mutual fund's prospectus or the bank deposit product's disclosure document or contact your advisor for additional information. Pursuant to SEC Rule 10b-10(b)(1) confirmations are not sent for purchases into money market mutual funds processed on the sweep platform.

ORIENTAL FINANCIAL SERVICES DISCLOSURE STATEMENT

Valued Investor, Oriental Financial Services ("OFS") would like to remind you that the securities held in your Investment Account are NOT insured by the Federal Deposit Insurance Company, and are subject to investment risk, including the possible loss of the principal invested. For more information, please consult your Investment Advisor.

OFS charges a \$175.00 inactive account fee to all accounts that have not had any trading activity during the 2018 calendar year. Exempt are accounts that settle a trade prior to December 31, 2018 in the amount of \$15,000.00 or more, maintain a Money Market Positions in excess of \$20,000, systematic reinvestment activity (SRS) over \$275.00, Corestone Accounts (except Corestone Silver accounts), and Trust accounts (ie, Keoghs, IRAs, etc) in addition to OMI Accounts. If you have questions, please contact your Investment Advisor. Oriental Financial Services is a wholly owned subsidiary of OFG Bancorp ("OFG") and an affiliate of Oriental Bank. OFG and Oriental Bank are not FINRA nor SIPC members. OFS charges an annual fee of \$125.00 for each brokerage account. Exempt from this fee are OMI accounts, DGI accounts under Oriental Trust as TTEE and any other account that has been charged the inactive annual fee.

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March 1, 2018 - March 31, 2018
PABLO DEL VALLE RIVERA

Important Information and Disclosures

The Role of Pershing

Pershing carries your account as clearing broker pursuant to a clearing agreement with your financial institution. Pershing may accept from your financial institution without inquiry or investigation (i) orders for the purchase and sale of securities and other property and (ii) any other instructions concerning your account. Pershing is not responsible or liable for any acts or omissions of your financial institution or its employees and it does not supervise them. Pershing provides no investment advice nor does it assess the suitability of any transaction or order. Pershing acts as the agent of your financial institution and you agree that you will not hold Pershing or any person controlling or under common control with it liable for any investment losses incurred by you.

Pershing performs several key functions at the direction of your financial institution. It acts as custodian for funds and securities you may deposit with it directly or through your financial institution or that it receives as the result of securities transactions it processes.

Your financial institution is responsible for adherence to the securities laws, regulations and rules which apply to it regarding its own operations and the supervision of your account, its sales representatives and other personnel. Your financial institution is also responsible for approving the opening of accounts and obtaining account documents; the acceptance and, in certain instances, execution of securities orders; the assessment of the suitability of those transactions, where applicable; the rendering of investment advice, if any, to you and in general, for the ongoing relationship that it has with you.

Inquiries concerning the positions and balances in your account may be directed to the Pershing Customer Service Department at (201) 413-3333. All other inquiries regarding your account or activity should be directed to your financial institution. Your financial institution's contact information can be found on the first page of this statement.

For a description of other functions performed by Pershing please consult the Disclosure Statement provided to you upon the opening of your account. This notice is not meant as a definitive enumeration of every possible circumstance, but as a general disclosure. If you have any questions regarding this notice or if you would like additional copies of the Disclosure Statement, please contact your financial institution.

Pershing is a member of the Securities Investor Protection Corporation (SIPC®). Please note that SIPC does not protect against loss due to market fluctuation. In addition to SIPC protection, Pershing provides coverage in excess of SIPC limits. For more detailed information please visit: www.pershing.com/about/strength-and-stability.

This statement will be deemed conclusive. You are advised to report any inaccuracy or discrepancy (including unauthorized trading) promptly, but no later than ten days after receipt of this statement, to your financial organization and Pershing. Please be advised that any oral communication should be re-confirmed in writing to further protect your rights, including your rights under the Securities Investor Protection Act.

Your financial organization's contact information can be found on the first page of this statement. Pershing's contact information is as follows: **Pershing LLC, Legal Department, One Pershing Plaza, Jersey City, New Jersey 07399; (201) 413-3330. Errors and Omissions excepted.**

Important Arbitration Disclosures

All parties to this agreement are giving up the right to sue each other in court, including the right to a trial by jury, except as provided by the rules of the arbitration forum in which a claim is filed.

Arbitration awards are generally final and binding; a party's ability to have a court reverse or modify an arbitration award is very limited.

The ability of the parties to obtain documents, witness statements and other discovery is generally more limited in arbitration than in court proceedings.

The arbitrators do not have to explain the reason(s) for their award, unless, in an eligible case, a joint request for an explained decision has been submitted by all parties to the panel at least 20 days prior to the first scheduled hearing date.

The panel of arbitrators will typically include a minority of arbitrators who were or are affiliated with the securities industry.

The rules of some arbitration forums may impose time limits for bringing a claim in arbitration. In some cases, a claim that is ineligible for arbitration may be brought in court.

The rules of the arbitration forum in which the claim is filed, and any amendments thereto, shall be incorporated into this agreement.

Important Arbitration Agreement

Any controversy between you and Pershing LLC shall be submitted to arbitration before the Financial Industry Regulatory Authority. No person shall bring a putative or certified class action to arbitration, nor seek to enforce any predispute arbitration agreement against any person who has initiated in court a putative class action, who is a member of a putative class who has not opted out of the class with respect to any claims encompassed by the putative class action until: (i) the class certification is denied; (ii) the class is decertified; or

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Pershing LLC is a member firm of SIPC

Important Arbitration Agreement (continued)

Pershing's contact information is as follows: Pershing LLC, Legal Department, One Pershing Plaza, Jersey City, New Jersey 07399; (201) 413-3330.

TERMS AND CONDITIONS

TRANSACTIONS

ALL ORDERS AND TRANSACTIONS SHALL BE SOLELY FOR YOUR ACCOUNT AND RISK SHALL BE SUBJECT TO THE CONSTITUTION, RULES, REGULATIONS, CUSTOMS, USAGES, RULINGS AND INTERPRETATIONS OF THE EXCHANGE OR MARKET AND THE CLEARING FACILITY. IF ANY, WHERE THE TRANSACTIONS ARE EXECUTED AND/OR SETTLED OR IF APPLICABLE, OF THE FINANCIAL INDUSTRY REGULATORY AUTHORITY AND TO ALL APPLICABLE LAWS AND REGULATIONS. TITLE TO SECURITIES SOLD TO YOU, WHERE PERSHING HAS ACTED AS PRINCIPAL, SHALL REMAIN WITH PERSHING UNTIL THE ENTIRE PURCHASE PRICE IS RECEIVED OR UNTIL THE SETTLEMENT DATE, WHICHEVER IS LATER.

YOU MAY HAVE RECEIVED CONFIRMATIONS FOR TRANSACTIONS WHICH DO NOT APPEAR ON YOUR STATEMENT. IF SO, THE TRANSACTIONS WILL APPEAR ON YOUR NEXT PERIODIC STATEMENT. SUCH TRANSACTIONS MUST BE CONSIDERED BY YOU WHEN COMPUTING THE VALUE OF YOUR ACCOUNT. THIS IS ESPECIALLY TRUE IF YOU HAVE WRITTEN OPTIONS WHICH HAVE BEEN EXERCISED.

FREE CREDIT BALANCES: ANY FREE CREDIT BALANCE CARRIED FOR YOUR ACCOUNT REPRESENTS FUNDS PAYABLE UPON DEMAND WHICH, ALTHOUGH PROPERLY ACCOUNTED FOR ON PERSHING'S BOOKS OF RECORD, ARE NOT SEGREGATED AND MAY BE USED IN THE CONDUCT OF ITS BUSINESS.

DEBIT BALANCES: INTEREST CHARGED ON DEBIT BALANCES IN YOUR ACCOUNT APPEARS ON THE STATEMENT. THE RATE OF INTEREST AND PERIOD COVERED ARE INDICATED. THE RATE MAY CHANGE FROM TIME TO TIME DUE TO FLUCTUATIONS IN MONEY RATES OR OTHER REASONS. INTEREST IS COMPUTED AS DESCRIBED IN MATERIAL PREVIOUSLY FURNISHED TO YOU. PLEASE CONTACT YOUR FINANCIAL INSTITUTION IF YOU DESIRE ADDITIONAL COPIES.

MARGIN INFORMATION: IF YOU MAINTAIN A MARGIN ACCOUNT, THIS IS A COMBINED STATEMENT OF YOUR GENERAL ACCOUNT AND A SPECIAL MEMORANDUM ACCOUNT MAINTAINED FOR YOU UNDER REGULATION T OF THE BOARD OF GOVERNORS AS REQUIRED BY REGULATION T IS AVAILABLE FOR YOUR INSPECTION UPON REQUEST.

GENERAL INFORMATION

AFTER YEAR END, PERSHING IS REQUIRED TO PROVIDE TAX INFORMATION TO THE INTERNAL REVENUE SERVICE AND OTHER GOVERNMENTAL AUTHORITIES. AT THAT TIME PERSHING WILL PROVIDE THAT INFORMATION ON THE ANNUAL TAX INFORMATION STATEMENT TO YOU; USE THAT STATEMENT TO PREPARE YOUR TAX FILINGS. THE TAX STATEMENT ALSO INCLUDES OTHER USEFUL INFORMATION TO ASSIST IN ACCUMULATING THE DATA TO PREPARE YOUR TAX RETURNS.

DIVIDENDS, INTEREST AND OTHER DISTRIBUTIONS SHOWN ON THIS STATEMENT WERE CLASSIFIED AS TAXABLE OR NONTAXABLE BASED ON CERTAIN INFORMATION KNOWN AS OF THE DISTRIBUTION DATE. THIS CLASSIFICATION IS SUBJECT TO CHANGE AND IS SOLELY INTENDED FOR USE AS GENERAL INFORMATION.

PERSHING DOES NOT PROVIDE TAX, INVESTMENT OR LEGAL ADVISORY SERVICES AND NO ONE ASSOCIATED WITH PERSHING IS AUTHORIZED TO RENDER SUCH ADVICE. DO NOT RELY UPON ANY SUCH ADVICE. IF GIVEN, INVESTORS ARE ENCOURAGED TO CONSULT THEIR TAX ADVISORS TO DETERMINE THE APPROPRIATE TAX TREATMENT OF THEIR BUSINESS.

GENERAL INFORMATION

WHENEVER YOU ARE INDEBTED TO PERSHING LLC (PERSHING) FOR ANY AMOUNT, ALL SECURITIES HELD BY IT FOR YOU IN ANY ACCOUNT IN WHICH YOU HAVE ANY INTEREST SHALL SECURE ALL YOUR LIABILITIES TO PERSHING, AND PERSHING MAY IN ITS DISCRETION AT ANY TIME, WITHOUT TENDER, DEMAND OR NOTICE TO YOU, CLOSE OR REDUCE ANY OR ALL OF YOUR ACCOUNTS BY PUBLIC OR PRIVATE SALE OR PURCHASE OR BOTH OF ALL OR ANY SECURITIES CARRIED IN SUCH ACCOUNTS; ANY BALANCE REMAINING DUE PERSHING TO BE PROMPTLY PAID BY YOU.

WHENEVER YOU ARE INDEBTED TO PERSHING FOR ANY AMOUNT, ALL SECURITIES CARRIED FOR YOUR ACCOUNT ARE OR MAY BE, WITHOUT FURTHER NOTICE TO YOU, LOANED OR PLEDGED BY PERSHING, EITHER SEPARATELY OR UNDER CIRCUMSTANCES WHICH WILL PERMIT THE COMMINGLING THEREOF, WITH OTHER SECURITIES FOR ANY AMOUNT LESS THAN, EQUAL TO OR GREATER THAN YOUR LIABILITIES TO PERSHING, BUT NOT UNDER CIRCUMSTANCES FOR AN AMOUNT PROHIBITED BY LAW.

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- PERSHING MAY TRADE FOR ITS OWN ACCOUNT AS A MARKET MAKER, SPECIALIST, ODD LOT DEALER, BLOCK POSITIONER, ARBITRAGEUR OR INVESTOR. CONSEQUENTLY, AT THE TIME OF ANY TRANSACTION YOU MAY MAKE, PERSHING MAY HAVE A POSITION IN SUCH SECURITIES, WHICH POSITION MAY BE PARTIALLY OR COMPLETELY HEDGED.
- IF AVERAGE PRICE TRANSACTION IS INDICATED ON THE FRONT OF THIS STATEMENT YOUR FINANCIAL INSTITUTION OR PERSHING MAY HAVE ACTED AS PRINCIPAL, AGENT OR BOTH. DETAILS AVAILABLE UPON REQUEST.
- A FINANCIAL STATEMENT OF PERSHING IS AVAILABLE FOR YOUR PERSONAL INSPECTION AT PERSHING'S OFFICES. A COPY OF IT WILL BE MAILED UPON YOUR WRITTEN REQUEST OR YOU CAN VIEW IT ONLINE AT WWW.PERSHING.COM.
- FOR BUSINESS CONTINUITY AND ADDITIONAL DISCLOSURES: WWW.PERSHING.COM/DISCLOSURES.
- THIS STATEMENT SHOULD BE RETAINED FOR YOUR RECORDS.

PAYMENT FOR ORDER FLOW AND ORDER ROUTING POLICIES DISCLOSURES [REGULATION NMS—RULE 607(A)(1)-(2)]

PERSHING SENDS CERTAIN EQUITY ORDERS TO EXCHANGES, ELECTRONIC COMMUNICATION NETWORKS, OR BROKER-DEALERS DURING NORMAL BUSINESS HOURS AND DURING EXTENDED TRADING SESSIONS. CERTAIN OF THESE VENUES PROVIDE PAYMENTS TO PERSHING OR CHARGE ACCESS FEES TO PERSHING DEPENDING UPON THE CHARACTERISTICS OF THE ORDER AND ANY SUBSEQUENT EXECUTION. THE DETAILS OF THESE PAYMENTS AND FEES ARE AVAILABLE UPON WRITTEN REQUEST. PERSHING RECEIVES PAYMENTS FOR DIRECTING LISTED OPTIONS ORDER FLOW TO CERTAIN OPTION EXCHANGES. IN ADDITION, PERSHING ROUTES CERTAIN EQUITY AND OPTION ORDERS TO ITS AFFILIATE, BNY MELLON CAPITAL MARKETS, LLC, FOR EXECUTION AS PRINCIPAL. COMPENSATION IS GENERALLY IN THE FORM OF A PER OPTION CONTRACT CASH PAYMENT.

BEST EXECUTION: NOTWITHSTANDING THE PREVIOUS PARAGRAPH REGARDING PAYMENT FOR ORDER FLOW, PERSHING SELECTS CERTAIN MARKET CENTERS TO PROVIDE EXECUTION OF OVER-THE-COUNTER AND EXCHANGE-LISTED SECURITIES TRANSACTIONS WHICH AGREE TO ACCEPT ORDERS, TRANSMITTED ELECTRONICALLY UP TO A SPECIFIED SIZE, AND TO EXECUTE THEM AT OR BETTER THAN THE NATIONAL BEST BID OR OFFER (NBBO), ON CERTAIN LARGER ORDERS, OR IF THE DESIGNATED MARKET CENTERS DO NOT MAKE A MARKET IN THE SUBJECT SECURITY, PERSHING DIRECTLY CONTACTS MARKET CENTERS TO OBTAIN AN EXECUTION. THE DESIGNATED MARKET CENTERS TO WHICH ORDERS ARE AUTOMATICALLY ROUTED ARE SELECTED BASED ON THE CONSISTENT HIGH QUALITY OF THEIR EXECUTIONS IN ONE OR MORE MARKET SEGMENTS AND THEIR ABILITY TO PROVIDE OPPORTUNITIES FOR EXECUTIONS AT PRICES SUPERIOR TO THE NBBO. PERSHING ALSO REGULARLY REVIEWS REPORTS FOR QUALITY OF EXECUTION PURPOSES.

IF ANY OF THE ABOVE TERMS AND CONDITIONS ARE UNACCEPTABLE TO YOU, PLEASE NOTIFY PERSHING IMMEDIATELY IN WRITING BY CERTIFIED MAIL TO ONE PERSHING PLAZA, JERSEY CITY, NJ 07399, ATTN: LEGAL DEPT.

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